

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Heaton, Joe L.	2. Court or Organization Western District of Oklahoma	3. Date of Report 4/25/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Active	5. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address United States Courthouse 200 N.W. 4th Street, Room 3108 Oklahoma City, Oklahoma 73102	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Custodian

Custodial Accounts 1 and 2

2.

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1. N/A

Oklahoma Public Employees Retirement System - vested. Eligible at age 62.

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DISCLOSURE CLERK

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III. NON-INVESTMENT INCOME. (Reporting individual and spouse: see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

☒ NONE - (No reportable non-investment income.)

DATE

SOURCE AND TYPE

GROSS INCOME

(yours; not spouse's)

1.

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

☒ NONE - (No reportable non-investment income.)

DATE

SOURCE AND TYPE

1.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ NONE - (No such reportable reimbursements.)

SOURCE

DESCRIPTION

1.

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ NONE - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ NONE - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1.

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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A-H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. Duke Energy common stock	B	Dividend	K	T					
2. Xcel Energy common stock	A	Dividend	K	T					
3. Oil & gas working interest; see note.	C	Royalty	J	V					
4. Smith Barney money fund (Citibank NA Bank Deposit Program)	A	Dividend	K	T					
5. Investment Company of America	B	Dividend	M	T					
6. Texas State Veterans Land bonds	A	Interest	J	T					
7. Okla. Dev. Finance Auth. bonds (St. John's Health System)	A	Interest	K	T					
8. Bank of Oklahoma checking accounts		None	K	T					
9. 323 East Mosier Limited Partnership, Ltd. part. int.	A	Rent	M	U					
10. Masterpiece Properties LP - Ltd. part. interest	A	Rent	L	U					
11. Meadowood II LP Ltd. part. int real est. dev., Cleveland Co	A	Rent	M	U					
12. Boydview Corp. common stock	G	Dividend			dissolution				
13. Hollywood Shopping Center LLC, Norman, OK	C	Rent	J	U					
14. West Oaks Rentals, gen. part., Norman, OK office building	A	Rent	J	U					
15. Norman Builders Supply common stock		None	J	U					
16. Norman Construction & Paving common stock		None	J	U					
17. DDB Limited Partnership, Ltd. part. Interest	A	Rent	L	U					
18. Growth Fund of America	A	Dividend	K	T					

1. Income/Gain Codes: A = \$1,000 or less B = \$1,001-\$2,500 C = \$2,501-\$5,000 D = \$5,001-\$15,000 E = \$15,001-\$50,000
(See Columns B1 and D4) F = \$50,001-\$100,000 G = \$100,001-\$1,000,000 H1 = \$1,000,001-\$5,000,000 H2 = More than \$5,000,000
2. Value Codes: J = \$15,000 or less K = \$15,001-\$50,000 L = \$50,001-\$100,000 M = \$100,001-\$250,000
(See Columns C1 and D3) N = \$250,000-\$500,000 O = \$500,001-\$1,000,000 P1 = \$1,000,001-\$5,000,000 P2 = \$5,000,001-\$25,000,000
P3 = \$25,000,001-\$50,000,000 P4 = More than \$50,000,000
3. Value Method Codes: Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash/Market
(See Column C2) U = Book Value V = Other W = Estimated

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19. Equitable of Iowa Whole Life Insurance	A	Dividend	J	U					
20. Individual Retirement Trust #1	C	Dividend	M	T					
21. - Amcap Fund									
22. - Investment Company of America									
23. - Smith Barney money funds									
24. - Growth Fund of America					Bought addit	11/20	J		
25. Individual Retirement Trust #2	B	Dividend	M	T					
26. - Amcap Fund									
27. - Investment Company of America									
28. - Smith Barney money funds									
29. - Growth Fund of America					Bought addit	11/20	J		
30. Custodial Account #1	A		M	T					
31. - Smith Barney money funds									
32. - Bank of Oklahoma savings account					Closed				
33. - Smith Barney Large Cap Value fund					partial sale	9/9	J		
34. - Growth Fund of America									
35. - 323 East Mosier LP, ltd. part. interest									
36. - Masterpiece Properties LP, ltd part. interest									

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37. - Meadowood II LP, ltd. part. interest									
38. - DDB Limited Part. ltd. part. interest									
39. Custodial Account #2	A		M	T					
40. - Smith Barney money funds									
41. - Bank of Oklahoma account									
42. - Smith Barney Large Cap Value Fund									
43. - Growth Fund of America					Bought addit	7/24	J		
44. - 323 East Mosier LP, ltd. part. interest									
45. - Masterpiece Properties LP, ltd. part. interest									
46. - Meadowood II LP, ltd. part. interest									
47. - DDB Limited Part. ltd. part. int.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

1. The value of the oil and gas working interest identified in Part VII, line 3, is based on average monthly income during the period x 36 months. The wells are located in Oklahoma (Folmar) and McClain (Lewis 1-11 and Mooney) Counties, Oklahoma.
2. As to the custodial accounts shown in Part VII, filer is the custodian of the bank account and assets in brokerage account [REDACTED] is custodian as to limited partnership interests. Valuations of publicly traded funds are based on cash/market; values of limited partnership interests are based on book value.
3. The limited partnership interests identified in Part VII, lines 9, 10, 11, 13 and 17 also had interest or dividend income in addition to rental income (per K-1). K-1 for the S-corp shown at line 13, shows dividends, rent and interest income. (Software only permits a single type to be shown.)

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

4/26/04

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544